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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 60/212,552
Applicant : Mark A. Stan *et al.*
Filed : June 19, 2000
TC/A.U. : 1753
Examiner : Mutschler, Brian L.

Confirmation No. 4594

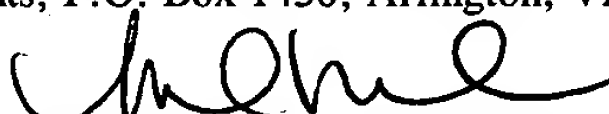
Docket No. : 1613370-0006
Customer No. : 7470

19/w.m.
8/7/03
RECEIVED
JUL 24 2003
TC 1700

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450, on July 16, 2003.

Melissa McCool
Name


Signature

July 16, 2003
Date

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Request For Issuance of Corrected Filing Receipt In Parent Application

Sir:

In response to the Response to Request for Corrected Filing Receipt dated May 27, 2003, Applicants have attached copy of the parent Filing Receipt along with the Express Mail Certificate and filing papers showing the filing date of the parent provisional application (Serial No. 60/212,552) for your review. The Filing Receipt for this parent patent application has been annotated in red to show how the correction should be made, as well as a marked-up copy of the Filing Receipt received for the non-provisional application.

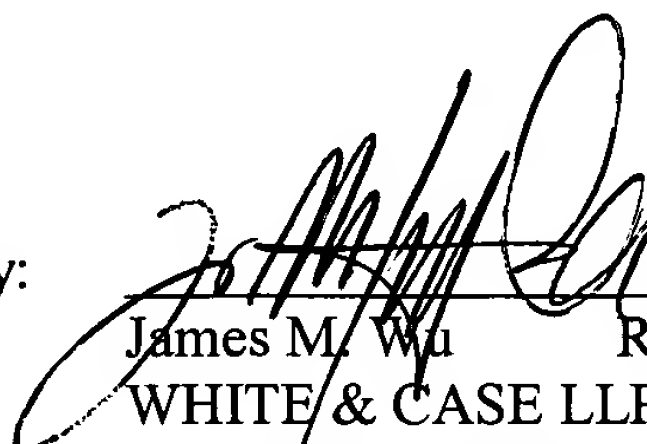
Applicants respectfully request that Corrected Filing Receipt to correct the error be issued in order to correct the priority domestic filing date in the non-provisional application.

Applicants believe that there is no fee due in connection with this Request. However, please charge any required fee to White & Case LLP Deposit Account No. 23-1703. A copy of this sheet is enclosed.

Respectfully submitted,

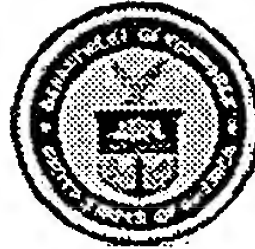
Dated: July 16, 2003

By:


James M. Wu Reg. No. 45,241
WHITE & CASE LLP
1155 Avenue of the Americas
New York, NY 10036
(650) 213-0302

FILING RECEIPT

OC00000005337518

**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**Address: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
60/212,552	06/20/2000 19		150	1613370-0006	5		

007470
WHITE & CASE LLP
PATENT DEPARTMENT
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036RECEIVED
JUL 24 2003
TC 1700

Date Mailed: 08/21/2000

Receipt is acknowledged of this provisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Mark A. Stan, Albuquerque, NM ;

Continuing Data as Claimed by Applicant**Foreign Applications**

-

Title

Apparatus and method for optimizing the efficiency of germanium junctions in multi-junction solar cells

Preliminary Class

Data entry by : ROBINSON, YOLANDA

Team : OIPE

Date: 08/21/2000



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

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PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

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Customer Service Center
Washington, DC 20231



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/885,319	06/19/2001	1753	1096	1613370-0006	5	37	4

007470
WHITE & CASE LLP
PATENT DEPARTMENT
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

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JUL 24 2003
TC 1700

CONFIRMATION NO. 4594

FILING RECEIPT



OC000000006415810

Date Mailed: 08/13/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Mark A. Stan, Residence Not Provided;
Nein Y. Li, Residence Not Provided;
Frank A. Spadafora, Residence Not Provided;
Hong Q. Hou, Residence Not Provided;
Paul R. Sharps, Residence Not Provided;
Novid S. Fateni, Residence Not Provided;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/212,552 06/20/2000 *
(*) Data inconsistent with PTO records. 19

Foreign Applications

If Required, Foreign Filing License Granted 08/11/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

WHITE & CASE LLP
PATENT DEPARTMENT

AUG 16 2001

RECEIVED
WHITE & CASE LLP
PATENT DEPARTMENT

2001

RECEIVED

Apparatus and method for optimizing the efficiency of germanium junctions in multi-junction solar cells

Preliminary Class
136

Data entry by : NGUYEN, NGAN

Team : OIPE

Date: 08/13/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

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- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Washington, DC 20231



Express Mail No.: EL 363 986 662 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark A. Stan et al.
Serial No.: To be assigned
Filed: June 19, 2000
Even Date Herewith
Title: AN APPARATUS AND METHOD FOR OPTIMIZING THE
EFFICIENCY OF GERMANIUM JUNCTIONS IN MULTI-
JUNCTION SOLAR CELLS
Atty. Docket No.: 1613370-0006

RECEIVED
JUL 24 2003
TC 1700

EXPRESS MAIL CERTIFICATE

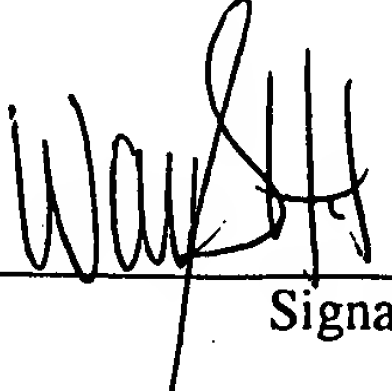
Box: Provisional Application
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby certify that the following papers for the above-identified provisional application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on June 19, 2000 and are addressed to:
The Assistant Commissioner for Patents, Washington, D.C. 20231

Provisional Application for Patent Cover Sheet
Fee Transmittal Form
Specification (6 pages)
Drawings (5 sheets, informal)
Return Post Card

Warren S. Heit
Typed Name

 REG NO 36,828
Signature

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PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

INVENTOR(S)					
Given Name (first and middle (if any))		Family Name or Surname		Residence (City and either State or Foreign Country)	
Mark A.		Stan		Albuquerque, NM	
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> separately numbered sheet(s) attached hereto					
TITLE OF INVENTION (280 characters max)					
An Apparatus and Method for Optimizing the Efficiency of Germanium Junctions in Multi-Junction Solar Cells					
CORRESPONDENCE ADDRESS					
Direct all correspondence to:					
<input checked="" type="checkbox"/> Customer Number		007470		<input type="checkbox"/> Place Customer Number Bar Code Label here	
OR		Type Customer Number here			
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		Zip	
Country		Telephone		Fax	
ENCLOSED APPLICATION PARTS (check all that apply)					
<input checked="" type="checkbox"/> Specification Number of Pages		6		<input type="checkbox"/> Small Entity Statement	
<input checked="" type="checkbox"/> Drawing(s) Number of Sheets		5		<input type="checkbox"/> Other (specify) <input type="text"/>	
METHOD OF PAYMENT FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT (check one)					
<input type="checkbox"/> A check or money order is enclosed to cover the filing fees				FILING FEE AMOUNT (\$)	
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number:		23-1708		\$150.00	
The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.					
<input checked="" type="checkbox"/> No.					
<input type="checkbox"/> Yes, the name of the U.S. Government agency and the Government contract number are:					

Respectfully submitted,

SIGNATURE

TYPE OR PRINTED NAME Warren S. Heit

TELEPHONE (650) 213-0321

Date June 19, 2000

REGISTRATION NO.
(if appropriate)

Docket Number:

36,828

1613370-0006

USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Box Provisional Application, Assistant Commissioner for Patents, Washington, DC 20231.

ROVISIONAL APPLICATION OVER SHEET
Additional Page

PTO/SB/16 (12-97)

Approved for use through 1/31/98. OMB 0651-0037
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Docket Number	1613370-00000	Type a plus sign (+) inside this box →	+
INVENTOR(S)/APPLICANT(S)			
Given Name (first and middle [if any])	Family or Surname	Residence (City and either State or Foreign County)	
Ncin Y.	Li	Albuquerque, NM	
Frank A.	Spadafora	Albuquerque, NM	
Hong Q.	Hou	Albuquerque, NM	
Paul R.	Sharps	Albuquerque, NM	
Novid S.	Fateni	Albuquerque, NM	



FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)**150.00**

Complete If Known

Application Number	To be assigned
Filing Date	Even Date Herewith
First Named Inventor	Mark A. Stan
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket No.	1613370-0006

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **23-1708**

Deposit Account Name **White & Case LLP**

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	150.00

SUBTOTAL (1) (\$)**150.00**

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)**150.00**

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print Type) **Warren S. Heit**

Registration No. (Attorney/Agent)

36,828

Complete (if applicable)

Telephone **(650) 213-0300**

Signature

Date

June 19, 2000

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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JUL 24 2003
TC 1700

EXPRESS MAIL NO: EL 303900002 U

Assistant Commissioner for Patents
Box Provisional Application
Washington, D.C. 20231

Date 06 / 19 / 00

Atty. Docket 1613370.1

Serial No. TBA

Sir:

Kindly acknowledge receipt of the accompanying:

- ☒ Specification and Claims 6 pages
☐ Oath or Declaration and Power of Attorney ☐ Executed ☐ Not Executed
☒ 5 Sheets of formal ☒ informal drawings
☐ Check for \$ (filing fee)
☐ Small entity declaration
☐ Assignment and Check for \$
☒ Request 37 CFR ☒ 1.53c ☐ 1.53d ☐ 1.53b

- ☐ New Appln.
☐ Continuation
☐ Divisional
☐ CIP

☐ Petition under 37 CFR 1.136 and Check \$
Other (specify) return postcard, Prov Appl. for Patent Cover
Sheet, Fee Transmittal, Express Mail Certificate
by placing your receiving date stamp hereon and mailing or returning to deliverer.

Atty Warren S. Heit Due Date / /

37 CFR 1.8
37 CFR 1.10
By Hand